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PTO/SB/21 (09-04)

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/802,160	
	Filing Date	March 17, 2004	
	First Named Inventor	Jennifer Stone-Sundberg	
	Art Unit	2812	
	Examiner Name	UNASSIGNED	
Total Number of Pages in This Submission	7	Attorney Docket Number	1035-BI4309

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form PTO-1449 (3 pgs); Cited References (19); Return Receipt Post Card
<b>Remarks</b> CUSTOMER NO.: 34456		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	TOLER, LARSON & ABEL, LLP		
Signature			
Printed name	Jeffrey S. Abel		
Date	3/28/05	Reg. No.	36,079

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Typed or printed name	Elise K. Dougherty	Date	3/28/05

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jennifer Stone-Sundberg, et al.  
Title: OPTICAL SPINEL ARTICLES AND METHODS FOR FORMING SAME  
Application No.: 10/802,160 Filed: March 17, 2004  
Examiner: UNASSIGNED Group Art Unit: 2812  
Atty. Docket No.: 1035-BI4309

COMMISSIONER FOR PATENTS  
PO Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT TRANSMITTAL**

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, the undersigned brings the patents, publications, applications or other information identified in the attached:

- ☒ Form(s) PTO/SB/08A and/or PTO/SB/08B or PTO/1449  
☐ Other: n/a

to the Examiner's attention in the above-identified application. Citation of such information shall not be construed as:

1. an admission that the information necessarily is, or corresponds to, prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described below; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

For each item of information listed that is not in the English language, the undersigned has provided a concise explanation of the relevance, such as through (i) an English language abstract, (ii) an English language equivalent application, (iii) reference to discussion in the application, or (iv) if cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action that indicates the degree of relevance found by the foreign office.

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Elise K. Dougherty Typed or Printed Name	 Signature

STATEMENT UNDER 37 C.F.R. § 1.704(d)

If the above-identified application is an original application filed on or after May 29, 2000:

- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

FEES DUE

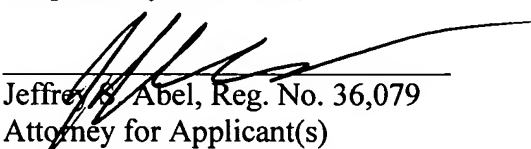
This Information Disclosure Statement is being filed:

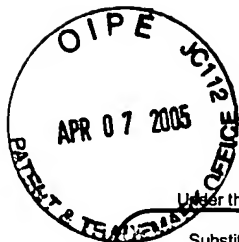
- ☐ within three months of the filing date of a national application or within three months of entry of the national stage as set forth in § 1.491 in an international application. Therefore, no fee is required.
- ☒ before the mailing date of a first Office action on the merits or before the mailing date of a first Office action after the filing of a request for continued examination under § 1.114. Therefore, no fee is believed required.
- ☐ during the period specified in § 1.97(c). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ during the period specified in § 1.97(c). Accordingly, the fee set forth in § 1.17(p) is required and provided as shown on the attached Fee Transmittal.
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Should any PTO fees be necessary for entry of this Information Disclosure Statement, the undersigned hereby authorizes the Commissioner to charge Deposit Account 50-2469.

Date 3/28/05

Respectfully submitted,

  
\_\_\_\_\_  
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PTO/SB/08A (08-03)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/802,160
Filing Date	March 17, 2004
First Named Inventor	Jennifer Stone-Sundberg
Art Unit	2812
Examiner Name	UNASSIGNED
Attorney Docket Number	1035-BI4309

Sheet 1 of 3

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AA	US- 3,625,868	12/07/1971	Grabmaier et al.	
	AB	US- 3,736,158	05/29/1973	Cullen et al.	
	AC	US- 3,816,906	06/18/1974	Falckenberg	
	AD	US- 3,883,313	05/13/1975	Cullen et al.	
	AE	US- 3,885,978	05/27/1975	Doi et al.	
	AF	US- 3,990,902	11/09/1976	Nishizawa, et al.	
	AG	US- 3,950,504	04/13/1976	Belding et al.	
	AH	US- 4,370,739	01/25/1983	Wang et al.	
	AI	US- 4,755,314	07/05/1988	Sakaguchi et al.	
	AJ	US- 5,138,298	08/11/1992	Shino	
	AK	US- 5,850,410	12/15/1998	Kuramata	
	AL	US- 6,533,874 B1	03/18/2003	Vaudo et al.	
	AM	US- 2003/0188678 A1	10/09/2003	Kokta et al.	
	AN	US- 6,839,362 B2	01/05/2005	Kokta et al.	
	AO	US- 6,844,084 B2	01/18/2005	Kokta et al.	
	AP	US- 3,424,955	01/28/1969	Seiter et al.	
	AQ	US-			
	AR	US-			
	AS	US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	AT	FR 1,471,976	03/24/1966	Siemens Aktiengesellsc.	Corr. 3,424,955	
	AU	JP 11-157997	06/15/1999	Kyocera Corporation	Abstract Only	
	AV	JP 09-278595	10/28/1997	Sumitomo Elect. Ind. Ltd.	Abstract Only	
	AW	JP 62-188325	08/17/1987	Sumitomo Elect. Ind. Ltd.	Abstract Only	
	AX	JP 58-211736	12/09/1983	Toshiba Corporation	Abstract Only	
	AY	JP 07-307316	11/21/1995	Sumitomo Elect. Ind. Ltd.	Abstract Only	

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Application Number	10/802,160
Filing Date	March 17, 2004
First Named Inventor	Jennifer Stone-Sundberg
Art Unit	2812
Examiner Name	UNASSIGNED
Attorney Docket Number	1035-BI4309

Sheet 2

of 3

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		Number-Kind Code <sup>2</sup> (if known)			
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	BB	US-			
	BC	US-			
	BD	US-			
	BE	US-			
	BF	US-			
	BG	US-			
	BH	US-			
	BI	US-			
	BJ	US-			
	BK	US-			
	BL	US-			
	BM	US-			
	BN	US-			
	BO	US-			
	BP	US-			
	BQ	US-			
	BR	US-			
	BS	US-			

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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	BT	EP 0 762 930 B1	07/12/2000	BP Amoco Corporation		
	BU	EP 0 263 171 B1	11/25/1992	UOP		
	BV	WO 01/99155 A2	12/27/2001	Nichia Corporation		
	BW	WO 02/95887 A2	11/28/2002	SG Ceramics & Plastics Inc.		
	BX					
	BY					

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(Use as many sheets as necessary)

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)	<b>Application Number</b>		10/802,160		
	<b>Filing Date</b>		March 17, 2004		
	<b>First Named Inventor</b>		Jennifer Stone-Sundberg		
	<b>Art Unit</b>		2812		
	<b>Examiner Name</b>		UNASSIGNED		
<b>Sheet</b>	3	<b>of</b>	3	<b>Attorney Docket Number</b>	1035-BI4309

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CA	Giess et al., "Growth of Single Crystal MgGa <sub>2</sub> O <sub>4</sub> Spinel", IBM TECHNICAL DISCLOSURE BULLETIN, Vol. 15, no. 1, June 1972, pgs 151-152, XP-002315746.	
	CB	Anon., "Spinel Crystals for Electronic Devices", MANUFACTURING TECHNOLOGY NOTE, Vol. NTN-77, no. 0735, April 1977, XP-002315747.	
	CC	Grabmaier et al., "Czochralski Growth of Magnesium-Aluminum Spinel", J. AMERICAN CERAMIC SOCIETY, Vol. 51, no. 6, June 1968, pgs 355-356, XP-002315185.	
	CD	Wyon et al., "Czochralski Growth and Optical Properties of Magnesium-Aluminum Spinel Doped with Nickel", JOURNAL OF CRYSTAL GROWTH, NORTH-HOLLAND PUBLISHING CO. AMSTERDAM, NL, Vol. 79, no. 1-3, part 2, 1986, pgs 710-713, XP-002250057.	
	CE	Pinckney, L.R., "Transparent, high strain point spinel glass-ceramics", JOURNAL OF NON-CRYSTALLINE SOLIDS, Vol. 255, pp. 171-177, 1999.	
	CF	Nakamura, S. "Current Status and Future Prospects of InGaN-Based Laser Diodes", ISAP INTERNATIONAL, Vol. 1, pgs. 5-17, 2000.	
	CG	Kisailus D., et al., "Growth of Epitaxial GaN of LiGaO <sub>2</sub> Substrates Via a Reaction With Ammonia", J. MATER. RES., Vol. 16, no. 7, pgs 2077-2081, 2001.	
	CH	Nakamura, S., et al., "InGaN MQW LDs Grown on MgAl <sub>2</sub> O <sub>4</sub> Substrates," In THE BLUE LASER DIODE, (NY: Springer-Verlag), pp. 233-243, 1997 (update included).	
	CI	Mordoc, H., et al., "Large-band-gap SiC, III-V nitride, and II-vi ZnSe-based Semiconductor Device Technologies", J. APPL. PHYS., Vol. 76, no. 3, pgs 1363-1398, 1994.	
	CJ		

<b>Examiner Signature</b>		<b>Date Considered</b>	
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